


Board of Directors' Meeting 8 December 2022

Agenda item	244/22			
Report Title	Risk Management Report – Q2			
Executive Lead	Director of Governance and Communications			
Report Author	Laura Perkins Assurance Team Administrator and Lisa Beresford Interim Head of Risk			
	Link to strategic goal:		Link to CQC domain:	
	Our patients and community	√	Safe	√
	Our people	√	Effective	√
	Our service delivery	√	Caring	√
	Our governance	√	Responsive	√
	Our partners	√	Well Led	√
	Report recommendations:		Link to BAF / risk:	
	For assurance	√	All	
	For decision / approval		Link to risk register:	
	For review / discussion		All	
	For noting			
	For information			
	For consent			
Presented to:	Risk Management Committee, 23 November 22 Senior Leadership Committee – Operational – 24 November 2022 Audit and Risk Assurance Committee, 1 December 2022			
Executive summary:	<p>As highlighted above, different iterations of this report – with minor changes - have been through numerous Committees before being presented to Board as a high-level report.</p> <p>The data shown throughout this report represents the position at the end of the financial quarter, Q2.</p> <p>The Reports provided to committees prior to this board meeting, contained the detailed risk report containing all >15+ risks on the register.</p> <p>At the time of publishing this paper, the number of >15+ risks had reduced from 111 to 100.</p>			
Appendices	Appendix 1: Risk Report Q2, 2022			
Executive Lead				

Introduction – current position

- 1.1 As at the end of Q2 **416 (426) active risks** recorded on the DATIX Risk Register. Of which the total number of **extreme risks** (rated 15 and above) stood at **111 (112)**.
- 1.2 There are a total of **91 (325) risks Overdue Review**. The higher amount in Q1 was due to the transition from 4Risk to DATIX on 22nd June 2022.
- 1.3 There are a total of **264 (169) risks Overdue Actions**. The increase may be due to staff dealing with operational pressures, i.e. critical incidents, and becoming familiar with the manual Datix reminder system.
- 1.4 Colleagues have been asked to review the detailed data for their own division with a view to reducing the numbers of overdue reviews, or overdue actions.
- 1.5 Divisional dashboards have been developed showing the data, for each of the divisions, so that progress can be monitored, and divisions held to account for lack of timely action. Specific dashboards continue to be developed where requested and feasible, the most recent being to support the QOC meetings.
- 1.6 To continue the process of developing staff knowledge and competence in the area of risk an initial 4 sessions on *Risk Management Process - Tools and Techniques* will take place in spring 2023.

Appendix 1: Risk Report – Quarter 2

Trust Profile

Total numbers of (ALL) risks on the operational risk register at quarter end.

(All data refers to five divisions, which includes 'corporate')

Q2:

Risk Profile – Trust Wide (Current):	LOW (1-3)	MODERATE (4-6)	HIGH (8-12)	EXTREME (15-25)	Total
1. Total Number of Risks and Current rating	11	52	242	111	416
2. Total Number of Opened Risks (New - last month)	0	0	2	0	2
3. Total Number of Closed Risks	3	2	3	2	10
4. Total Number of Overdue Review	1	12	51	27	91
5. Total Number of Overdue Actions	65	83	116	0	264

Q1 for comparison:

Risk Profile – Trust Wide (Current):	LOW (1-3)	MODERATE (4-6)	HIGH (8-12)	EXTREME (15-25)	TOTAL
1. Total Number of Risks and Current rating	9	52	253	112	426
2. Total Number of Opened Risks (New - last month)	0	3	13	0	18
3. Total Number of Closed Risks	0	2	3	0	5
4. Total Number of Overdue Review	9	41	192	83	325
5. Total Number of Overdue Actions	58	46	65	0	169

Q2:

Open Risks by Division and Level	LOW (1-3)	MODERATE (4-6)	HIGH (8-12)	EXTREME (15-25)	Total
Surgery, Anaesthetics and Cancer	3	14	75	25	117
Medicine and Emergency Care	0	5	39	27	71
Women and Children's	0	5	47	12	64
Clinical Support Services	0	9	19	23	51
Corporate Division (Departments)	8	19	62	24	113
Total	11	52	242	111	416

Q1 for comparison: (Note the transition from 4Risk to Datix on 22nd June 2022)

Open Risks by Division and Level	LOW (1-3)	MODERATE (4-6)	HIGH (8-12)	EXTREME (15-25)	Total
Surgery, Anaesthetics and Cancer	1	14	79	23	117
Medicine and Emergency Care	0	4	40	31	75
Women and Children's	0	8	47	13	68
Clinical Support Services	0	6	23	22	51
Corporate Division (Departments)	8	20	64	23	115
Total	9	52	253	112	426

DIVISION:	CLINICAL SUPPORT SERVICES
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Open risks by Year, Level and Division/Directorate:

	LOW (1-3)	MODERATE (4-6)	HIGH (8-12)	EXTREME (15-25)	Total
2008		0	1	0	1
2009		0	0	1	1
2010		0	0	0	0
2011		0	0	0	0
2012		1	0	0	1
2013		1	0	0	1
2014		0	1	0	1
2015		0	1	1	2
2016		0	0	0	0
2017		0	0	1	1
2018		1	5	1	7
2019		1	4	3	8
2020		2	0	3	5
2021		2	6	4	12
2022		1	1	9	11
Total		9	19	23	51

Division's Summary Totals:

	Q1 1ST Jul Extract	Q2 1ST OCT Extract	Q3 1ST JAN Extract	Q4 1ST APR Extract
Total number of Open Risks	51	51		
Total number of Extreme (15-25)	22	23		
Total number of High (8-12)	23	19		
Total number of Moderate (4-6)	6	9		
Total number of Low (1-3)	0	0		
Total number of NEW risks	2	0		
Total number of OVERDUE Review (all risk levels):	38	18		
Total number of OVERDUE Review SCORING 15 AND ABOVE	14	4		
Total number of CLOSED risks (all risk levels):	0	1		
Total number of OVERDUE actions (all risk levels):	31	39		

DIVISION: WOMEN & CHILDREN'S**Open risks by Year, Level and Division/Directorate:**

	LOW (1-3)	MODERATE (4-6)	HIGH (8- 12)	EXTREME (15-25)	TOTAL
2012		0	0	1	1
2013		0	0	0	0
2014		0	0	0	0
2015		0	1	0	1
2016		0	1	0	1
2017		0	1	0	1
2018		0	1	0	1
2019		1	5	0	6
2020		0	7	4	11
2021		3	9	3	15
2022		1	22	4	27
Total		5	47	12	64

Division's Summary Totals:

	Q1 1ST Jul Extract	Q2 1ST OCT Extract	Q3 1ST JAN Extract	Q4 1ST APR Extract
Total number of Open Risks	68	64		
Total number of Extreme (15-25)	13	12		
Total number of High (8-12)	47	47		
Total number of Moderate (4-6)	8	5		
Total number of Low (1-3)	0	0		
Total number of NEW risks	4	1		
Total number of OVERDUE Review (all risk levels):	44	0		
Total number of OVERDUE Review SCORING 15 AND ABOVE	7	0		
Total number of CLOSED risks (all risk levels):	0	2		
Total number of OVERDUE actions (all risk levels):	19	44		

DIVISION: SURGERY, ANAESTHETICS & CANCER

Open risks by Year, Level and Division/Directorate:

	LOW (1-3)	MODERATE (4-6)	HIGH (8-12)	EXTREME (15-25)	TOTAL
2012	0	1	0	0	1
2013	0	0	1	0	1
2014	0	0	0	0	0
2015	0	0	2	0	2
2016	0	2	1	1	4
2017	0	1	4	1	6
2018	0	1	8	3	12
2019	0	1	12	3	16
2020	0	3	10	2	15
2021	0	4	26	9	39
2022	3	1	11	6	21
Total	3	14	75	25	117

Division's Summary Totals:

	Q1 1ST Jul Extract	Q2 1ST OCT Extract	Q3 1ST JAN Extract	Q4 1ST APR Extract
Total number of Open Risks	117	117		
Total number of Extreme (15-25)	23	25		
Total number of High (8-12)	79	75		
Total number of Moderate (4-6)	14	14		
Total number of Low (1-3)	1	3		
Total number of NEW risks	1	0		
Total number of OVERDUE Review (all risk levels):	77	15		
Total number of OVERDUE Review SCORING 15 AND ABOVE	15	4		
Total number of CLOSED risks (all risk levels):	1	4		
Total number of OVERDUE actions (all risk levels):	29	32		

DIVISION:	MEDICINE AND EMERGENCY CARE
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Open risks by Year, Level and Division/Directorate:

	LOW (1-3)	MODERATE (4-6)	HIGH (8-12)	EXTREME (15-25)	TOTAL
2009		0	0	1	1
2010		0	0	0	0
2011		0	0	0	0
2012		0	0	1	1
2013		0	0	0	0
2014		0	1	1	2
2015		0	1	0	1
2016		0	0	0	0
2017		0	3	1	4
2018		0	2	0	2
2019		0	2	1	3
2020		0	10	3	13
2021		2	16	11	29
2022		3	4	8	15
Total		5	39	27	71

Division's Summary Totals:

	Q1 1ST Jul Extract	Q2 1ST OCT Extract	Q3 1ST JAN Extract	Q4 1ST APR Extract
Total number of Open Risks	75	71		
Total number of Extreme (15-25)	31	27		
Total number of High (8-12)	40	39		
Total number of Moderate (4-6)	4	5		
Total number of Low (1-3)	0	0		
Total number of NEW risks	0	0		
Total number of OVERDUE Review (all risk levels):	69	32		
Total number of OVERDUE Review SCORING 15 AND ABOVE	29	10		
Total number of CLOSED risks (all risk levels):	0	1		
Total number of OVERDUE actions (all risk levels):	45	95		

DIVISION:	CORPORATE - Estates, Facilities, IT, COO, DON, FD, MD, WD, DoG&C, Service Improvement Hub etc
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Open risks by Year, Level and Division/Directorate:

	LOW (1-3)	MODERATE (4-6)	HIGH (8-12)	EXTREME (15-25)	TOTAL
2008	0	1	0	1	2
2009	0	0	0	0	0
2010	0	0	1	0	1
2011	0	2	0	0	2
2012	0	0	1	0	1
2013	0	0	2	0	2
2014	0	0	1	1	2
2015	0	0	3	0	3
2016	0	0	2	1	3
2017	0	2	0	0	2
2018	0	1	11	2	14
2019	0	2	4	2	8
2020	2	1	5	0	8
2021	2	4	12	11	29
2022	4	6	20	6	36
Total	8	19	62	24	113

Division's Summary Totals:

	Q1 1ST Jul Extract	Q2 1ST OCT Extract	Q3 1ST JAN Extract	Q4 1ST APR Extract
Total number of Open Risks	115	113		
Total number of Extreme (15-25)	23	24		
Total number of High (8-12)	64	62		
Total number of Moderate (4-6)	20	19		
Total number of Low (1-3)	8	8		
Total number of NEW risks	11	1		
Total number of OVERDUE Review (all risk levels):	97	26		
Total number of OVERDUE Review SCORING 15 AND ABOVE	18	9		
Total number of CLOSED risks (all risk levels):	4	2		
Total number of OVERDUE actions (all risk levels):	47	51		